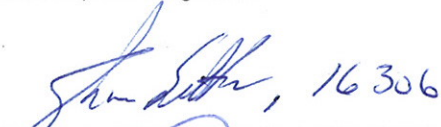



STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 6
Command Grant Management

Command: Altadena Area	Division: Southern	Number: 6
Evaluated by: Sergeant Shann Setter, #16306		Date: 01/05/10
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Commander's Signature: 		
<input type="checkbox"/> Follow-up Inspection		Date: 1-7-10		
For applicable policy, refer to: GO 40.6				
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.				
1. If the commander became aware that another agency or organization is proposing or has submitted a grant application to a funding agency other than the Office of Traffic Safety (OTS) that appears to focus on traffic safety goals clearly within the jurisdiction of the Department, did the commander notify the appropriate assistant commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
2. Has OTS grant funding, through the Highway Safety Plan, been sought for traffic safety-related activities for the purpose of conducting inventories, need and engineering studies, system development or program implementations?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The Area has not sought any OTS grant funding. All grants are received through Southern Division.
3. Has the command sought grant funding to assist with the expenses associated with the priority programs identified by the National Highway Traffic Safety Administration?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The Area has not sought any grant funding. All grants are received through Southern Division.
4. Has the commander ensured grant funds are not being reallocated to fund other programs or used for non-reimbursable overtime expenditures?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are concept papers regarding grant funding submitted through channels to Grants Management Unit (GMU)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Area has not submitted any concept papers.
6. Was GMU contacted to determine the current personnel billing rates used for grant projects when preparing concept paper budgets?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Area has not submitted any concept

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				papers.
7. Is supporting documentation of consent and acceptance (of the work, goods, or services provided by the state on behalf of a local government agency as required by 23 Code of Federal Regulations Part 1250) being submitted to OTS for all grant projects coded as "for local benefit"?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No grant projects coded "for local benefit" were processed by Altadena Area.
8. Were all copies of the grant project agreements, revisions, and claim invoices signed by the Project Director, or designated alternate?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Grants are processed by Southern Division.
9. Were all inquiries or correspondence concerning the availability of grant funds or other contacts with grant funding agencies coordinated/processed through GMU?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Grants are processed by Southern Division.
10. Are all expenditures of grant funds approved by GMU prior to entering into any obligations, with the exception of personnel costs?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Grants are processed by Southern Division.
11. Are quarterly progress reports forwarded through channels to GMU in accordance with the instructions contained in the associated project MOU?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are all requirements of the grant agreement and MOU being met?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a final project report being prepared in accordance with the funding agency and departmental requirements upon the termination of the grant project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does every invoice associated with a grant funded project contain the project number and name?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Are all purchases of grant-funded equipment acquired under an OTS grant exceeding a unit cost of \$5,000 being documented on an Equipment Report, Form OTS-25?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No equipment meeting the criteria was purchased.
16. Has grant funded equipment been inspected to ensure it is being utilized in accordance with the respective grant agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Radar equipment and Specter Trailers.
17. Are applications for federal funds in accordance with Government Code Section 13326 including obtaining approval from the Department of Finance and/or the Governor's office prior to submission to the appropriate federal authority? This would include any of the following: <ul style="list-style-type: none"> • Applications for federal funds which are not included in the budget approved by the Governor. • Applications for federal funds which exceed the amount specified in the budget. 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No applications for federal funds were processed by Altadena Area.

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18. Is a federal Standard Form 424, Application for Federal Assistance, filed with the State Clearinghouse for all approved unbudgeted grant requests received by the Department of Finance?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No unbudgeted grant requests were processed by the Altadena Area.
19. Has any request for unanticipated federal funds met the criteria for legislative notification set forth in Control Section 28.00 of the annual Budget Act?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No requests for unanticipated federal funds were processed by Altadena Area.
20. Are grant funds being used for their intended purpose?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are grant applications related to the Motor Carrier Safety Assistance Program (MCSAP) being routed through the Commercial Vehicle Section before they are submitted to the funding agency?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No grant applications relating to MCSAP were processed by Altadena Area.
22. Are grant applications related to the Homeland Security Grant Program being routed through the Emergency Operations Section before they are submitted to the funding agency?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No grant applications relating to Homeland Security were processed by Altadena Area.
Questions 23 through 26 pertain to the Grants Management Unit				
23. Has GMU prepared an annual Management Memorandum to be disseminated to all commanders soliciting participation in the Department's Highway Safety Program?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Does not pertain to Area level.
24. Did GMU send the concept paper as an attachment to a memorandum through the Planning and Analysis Division to Assistant Commissioner, Field, and Assistant Commissioner, Staff, and their Executive Assistants?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Does not pertain to Area level.
25. Did GMU route copies of the Draft Grant Agreement using the CHP Form 60, Staff Summary Statement, to all commands with responsibility for or that have an interest in the project?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Does not pertain to Area level.
26. Was a Memorandum of Understanding between involved commands outlining the responsibilities of each command prepared and distributed by GMU?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Does not pertain to Area level.


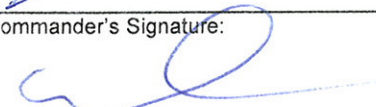
STATE OF CALIFORNIA
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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 6
Command Overtime

Command: Altadena Area	Division: Southern	Number: 6
Evaluated by: Sergeant Shann Setter, #16306		Date: 01/05/10
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level	<input checked="" type="checkbox"/> Command Level			
<input type="checkbox"/> Executive Office Level	<input type="checkbox"/> Voluntary Self-Inspection			
Follow-up Required:	<input type="checkbox"/> Follow-up Inspection	Commander's Signature:	Date:	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			1-7-10	
For applicable policies, refer to HPM 11.1, Chapter 6, HPM 40.71, Chapters 2, 8, and 10, HPM 10.5, Chapter 2, and HPM 10.3, Chapters 24 and 28.				
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.				
1. Is the hiring company/agency for reimbursable overtime being held responsible for paying a minimum of four hours of overtime per CHP uniformed employee, regardless of length of service/detail?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Is a minimum of four hours overtime being allocated to each CHP uniformed employee(s) if cancellation notification is made 24 hours or less prior to the scheduled detail and the assigned CHP uniformed employee(s) cannot be notified of such cancellation?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are reimbursable special project codes being used for all overtime associated with reimbursable special projects?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: See Exceptions Document.
4. Is the commander ensuring nonuniformed personnel overtime hours are not reflected on the Report of Overtime Hours for Reimbursable Special Projects?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is the commander ensuring non-reimbursable overtime is not being claimed for an employee, other than Bargaining Unit 7, while on vacation or compensated time off for hours worked during their regular work shift time?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Is "RDO" being written in the "Notes" section of the CHP 415, Daly Field Record, for overtime worked on a regular day off?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: See Exceptions Document.
7. Is there a CHP 90, Report of Court Appearance - Civil Action, completed for each officer or sergeant when overtime is associated for civil court?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: See Exceptions Document.

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Chapter 6

Command Overtime

8. Do the CHP 415s with overtime indicate the employee's lunch period or indicate "None" if the employee worked through their lunch break?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Did the supervisor sign the CHP 415s approving the overtime?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Are claimed overtime meals related to overtime worked within 50 miles of the employee's headquarters?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No overtime meals were claimed.
11. If overtime is incurred by a peer support counselor, is the name of the employee to whom support was provided excluded from the CHP 415 of the counselor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No overtime was claimed by a peer support counselor.
12. Is the "Notes" section on side two of the CHP 415 used to explain any overtime listed on side one of the CHP 415?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are employee's Compensated Time Off hours maintained within reasonable balances?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Is the commander ensuring employees are not incurring overtime due to working over the allotted number of hours for any given Fair Labor Standards Act (FLSA) period?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the commander ensuring uniformed employees are not working voluntary overtime which results in them working more than 16.5 hours in a 24 hour period?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Do the CHP 415 total overtime hours agree with the Monthly Attendance Report (MAR)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
1. Are the MARs retained for at least three years and contain the commander's signature?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Altadena Area	Division: Southern	Chapter: 6
Inspected by: Sergeant Shann Setter, 16306		Date: 01/05/10

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection:	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to:		
Due Date:			
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

On January 5, 2010, Sergeant Shann Setter conducted an inspection on the Altadena Area grant management and overtime usage. The review was completed by inspecting ten percent of the documents of the Area's records for the period of January 1, 2009 through December 31, 2009. The inspection focused on compliance with Highway Patrol Manual (HPM) 11.2, Chapter 6, HPM 40.71, Chapters 2, 8 and 10, HPM 10.5, Chapter 2, HPM 10.3, Chapters 24 and 28 and General Order 40.6.

Currently, all allotted hours from grants are coordinated through Southern Division and reported on monthly. The Altadena Area's overtime is managed by supervisors and managers and a system is in place to identify when unplanned non-reimbursable overtime expenditures are necessary. Prior to working the overtime, officers are required to obtain supervisory approval and provide a justification. Officers who work any overtime prepare a CHP A415 and submit it electronically for a supervisor's approval. The CHP A415 is required to explain the reason for the overtime in the notes section and which supervisor authorized the overtime or subpoena information. If the overtime is reimbursable, the officer explains the information in the notes section along with adding the special code. The officer then submits a copy of their CHP A415 along with the supporting documentation (eg., COZEEP/MAZEEP worksheet) to Officer M. Larson, 16325, the overtime coordinator. Officer Larson then tracks the overtime and reports to Southern Division on a monthly basis. Supervisors review all CHP A415's and they are signed off in the CARS computer system and submitted to MIS.

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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Command: Altadena Area	Division: Southern	Chapter: 6
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When the Area receives a civil subpoena that requires a CHP 90 (Report of Court Appearance), Office Assistant Yvonne Lee, A13473, Subpoena Clerk, records the subpoena in the Area Information System (AIS). A copy of the subpoena and a blank CHP 90 are served to the officer and the information is placed in a suspense file and followed up on in a week. After the appearance, the officer completes the CHP 90 and a CHP A415 and submits them to a supervisor for approval. The CHP 90 is then forwarded to the subpoena clerk for processing.

Action Item #1

Command Overtime Question #3: Are reimbursable special project codes being used for all overtime associated with reimbursable special projects?

- It was discovered officers assigned to special projects were using the special code on the CHP A415 for the initial assignment; however, they were not using the special project code when attending court directly related to the special project.

Action Item #2

Command Overtime Question #6: Is "RDO" being written in the notes section of the CHP A415, Daily Field Record, for overtime worked on a regular day off?

- It was discovered officers are not documenting "RDO" in the notes of the CHP A415 for when working overtime on regularly scheduled days off.

Action Item #3

Command Overtime Question #7: Is there a CHP 90, Report of Court Appearance-Civil Action, completed for each officer or sergeant when overtime is associated with civil court?

- It was discovered not all officers are submitting a CHP 90 at the conclusion of their appearance.

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Command: Altadena Area	Division: Southern	Chapter: 6
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Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

See corrective action plan

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

None

Required Action

Corrective Action Plan/Timeline

Action Item #1- Command Overtime Question #3: Are reimbursable special project codes being used for all overtime associated with reimbursable special projects?

Corrective Actions:

Officers will be required to document the special code on the face page of all reports (CHP 202, CHP 216 or CHP 215) they prepare associated with a special project. If the officer is subpoenaed to court, they will recognize it is pertaining to a special project. Officers will complete their CHP A415 and turn it in with supporting documentation to a supervisor for review and approval. The supervisor will ensure the special project code is used if applicable. (IMMEDIATE)

Action Item #2 - Command Overtime Question #6: Is "RDO" being written in the notes section of the CHP A415, Daily Field Record, for overtime worked on a regular day off?

Corrective Actions:

A briefing item was posted instructing officers to indicate "RDO" in the notes section for overtime worked on a regular day off (RDO). (IMMEDIATE)

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Command: Altadena Area	Division: Southern	Chapter: 6
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Action Item #3 - Command Overtime Question #7: Is there a CHP 90, Report of Court Appearance-Civil Action, completed for each officer or sergeant when overtime is associated with civil court?

Corrective Actions:

The subpoena clerk will keep a record of any officer appearing on a civil subpoena requiring a CHP 90. The clerk will track the status of the CHP 90's weekly for officers appearing according to the summons. At the conclusion of the appearance, a reminder will be sent to the officer and supervisors via email to complete the CHP 90 immediately. Upon receiving the completed CHP 90, the subpoena clerk will document the information in the Altadena Area Information System and forward it to Sacramento in a timely manner. (IMMEDIATE)

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 1-7-10
	INSPECTOR'S SIGNATURE 	DATE 1-6-10
<input type="checkbox"/> Reviewer discussed this report with employee <input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 1-27-10